

6. DYNAMIC PROGRAMMING I

- weighted interval scheduling
- > segmented least squares
- ▶ knapsack problem
- ▶ RNA secondary structure

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Last undated on 4/4/18 5:30 AM

Algorithmic paradigms

Greed. Build up a solution incrementally, myopically optimizing some local criterion.

Divide-and-conquer. Break up a problem into independent subproblems; solve each subproblem; combine solutions to subproblems to form solution to original problem.

Dynamic programming. Break up a problem into a series of overlapping subproblems combine solutions to smaller subproblems to form solution to large subproblem.

> fancy name for caching intermediate results in a table for later reuse

Dynamic programming history

Bellman. Pioneered the systematic study of dynamic programming in 1950s.

Etymology.

- Dynamic programming = planning over time.
- Secretary of Defense had pathological fear of mathematical research.
- · Bellman sought a "dynamic" adjective to avoid conflict.



THE THEORY OF DYNAMIC PROGRAMMING

RICHARD BELLMAN 1. Introduction. Before turning to a discussion of some

1. Introduction. Before turning to a discussion of some representative problems which will permit us to exhibit various mathematical features of the theory, let us present a brief survey of the fundation of the control of the co ast of quantities which we call state parameters, or state variables. At certain times, which may be prescribed in advance, or which may be determined by the process itself, we are called upon to make decisions which will affect the state of the system. These decisions are decisions which will affect the state of the system. These decisions are decisions which will affect the state of the system. The system of the process of the prescribing decisions is to be used to guide the choice of future ones, with the purpose of the whole process that of maximizing me function of the parameters describing the final state of the parameters described the parameters described the parameters described the parameters of the parameters of

chinery in factories; from the programming of training policies for skilled and unskilled labor to the choice of optimal purchasing and inentory policies for department stores and military establish

Dynamic programming applications

Application areas.

- · Computer science: Al, compilers, systems, graphics, theory,
- · Operations research.
- · Information theory.
- · Control theory.
- · Bioinformatics.

Some famous dynamic programming algorithms.

- · Avidan-Shamir for seam carving.
- Unix diff for comparing two files.
- · Viterbi for hidden Markov models.
- · De Boor for evaluating spline curves.
- · Bellman-Ford-Moore for shortest path.
- Knuth-Plass for word wrapping text in T_EX .
- Cocke-Kasami-Younger for parsing context-free grammars.
- · Needleman-Wunsch/Smith-Waterman for sequence alignment.

Dynamic programming books



Algorithm Design

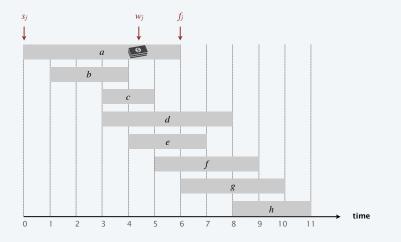
SECTIONS 6.1-6.2

6. DYNAMIC PROGRAMMING I

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Weighted interval scheduling

- Job j starts at s_j , finishes at f_j , and has weight $w_j > 0$.
- Two jobs are compatible if they don't overlap.
- Goal: find max-weight subset of mutually compatible jobs.



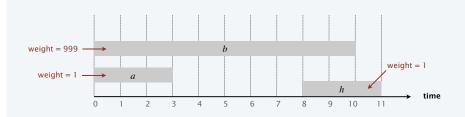
Earliest-finish-time first algorithm

Earliest finish-time first.

- · Consider jobs in ascending order of finish time.
- Add job to subset if it is compatible with previously chosen jobs.

Recall. Greedy algorithm is correct if all weights are 1.

Observation. Greedy algorithm fails spectacularly for weighted version.



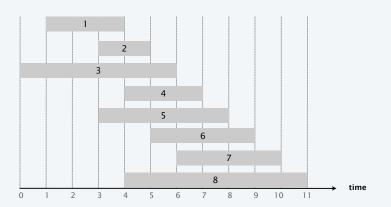
Weighted interval scheduling

Convention. Jobs are in ascending order of finish time: $f_1 \le f_2 \le ... \le f_n$.

Def. p(j) = largest index i < j such that job i is compatible with j.

Ex.
$$p(8) = 1, p(7) = 3, p(2) = 0.$$

i is leftmost interval that ends before j begins



Dynamic programming: binary choice

Def. $OPT(j) = \max$ weight of any subset of mutually compatible jobs for subproblem consisting only of jobs 1, 2, ..., j.

Goal. $OPT(n) = \max$ weight of any subset of mutually compatible jobs.

Case 1. OPT(j) does not select job j.

• Must be an optimal solution to problem consisting of remaining jobs 1, 2, ..., j-1.

Case 2. OPT(j) selects job j.

optimal substructure property
(proof via exchange argument)

- Collect profit w_j.
- Can't use incompatible jobs $\{p(j)+1,p(j)+2,...,j-1\}.$
- Must include optimal solution to problem consisting of remaining compatible jobs 1, 2, ..., p(j).

Weighted interval scheduling: brute force

BRUTE-FORCE $(n, s_1, ..., s_n, f_1, ..., f_n, w_1, ..., w_n)$

Sort jobs by finish time and renumber so that $f_1 \le f_2 \le ... \le f_n$.

Compute p[1], p[2], ..., p[n] via binary search.

RETURN COMPUTE-OPT(n).

COMPUTE-OPT(j)

IF (j = 0)

RETURN 0.

ELSE

RETURN max {COMPUTE-OPT(j-1), w_j + COMPUTE-OPT(p[j]) }.

Dynamic programming: quiz 1



What is running time of COMPUTE-OPT(n) in the worst case?

- **A.** $\Theta(n \log n)$
- **B.** $\Theta(n^2)$
- C. $\Theta(1.618^n)$
- **D.** $\Theta(2^n)$

COMPUTE-OPT(*j*)

IF (j=0)

RETURN 0.

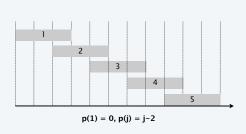
ELSE

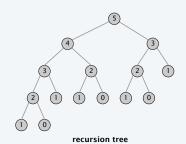
RETURN max {COMPUTE-OPT(j-1), w_j + COMPUTE-OPT(p[j]) }.

Weighted interval scheduling: brute force

Observation. Recursive algorithm is spectacularly slow because of overlapping subproblems ⇒ exponential-time algorithm.

Ex. Number of recursive calls for family of "layered" instances grows like Fibonacci sequence.





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Weighted interval scheduling: memoization

Top-down dynamic programming (memoization).

- Cache result of subproblem j in M[j].
- Use M[j] to avoid solving subproblem j more than once.

TOP-DOWN $(n, s_1, ..., s_n, f_1, ..., f_n, w_1, ..., w_n)$ Sort jobs by finish time and renumber so that $f_1 \le f_2 \le ... \le f_n$.

Compute p[1], p[2], ..., p[n] via binary search. $M[0] \leftarrow 0$. global array

RETURN M-COMPUTE-OPT(n).

M-COMPUTE-OPT(j)If (M[j] is uninitialized) $M[j] \leftarrow \max \{ \text{M-COMPUTE-OPT}(j-1), w_j + \text{M-COMPUTE-OPT}(p[j]) \}.$ RETURN M[j].

Weighted interval scheduling: running time

Claim. Memoized version of algorithm takes $O(n \log n)$ time. Pf.

- Sort by finish time: $O(n \log n)$ via mergesort.
- Compute p[j] for each j: $O(n \log n)$ via binary search.
- M-Compute-Opt(j): each invocation takes O(1) time and either
 - (1) returns an initialized value M[j]
 - (2) initializes M[i] and makes two recursive calls
- Progress measure $\Phi = \#$ initialized entries among M[1..n].
 - initially $\Phi = 0$; throughout $\Phi \leq n$.
 - (2) increases Φ by $1 \Rightarrow \leq 2n$ recursive calls.
- Overall running time of M-Compute-Opt(n) is O(n).

Those who cannot remember the past are condemned to repeat it.

- Dynamic Programming

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Weighted interval scheduling: finding a solution

- Q. DP algorithm computes optimal value. How to find optimal solution?
- A. Make a second pass by calling FIND-SOLUTION(n).

FIND-SOLUTION(j)

IF (j = 0)

RETURN \varnothing .

ELSE IF ($w_j + M[p[j]] > M[j-1]$)

RETURN $\{j\} \cup$ FIND-SOLUTION(p[j]).

ELSE

RETURN FIND-SOLUTION(j-1).

 $M[j] = \max \{ M[j-1], w_j + M[p[j]] \}.$

Analysis. # of recursive calls $\leq n \Rightarrow O(n)$.

Weighted interval scheduling: bottom-up dynamic programming

Bottom-up dynamic programming. Unwind recursion.

BOTTOM-UP($n, s_1, ..., s_n, f_1, ..., f_n, w_1, ..., w_n$)

Sort jobs by finish time and renumber so that $f_1 \le f_2 \le ... \le f_n$.

Compute p[1], p[2], ..., p[n].

 $M[0] \leftarrow 0$. previously computed values

For j = 1 to n

 $M[j] \leftarrow \max \{ M[j-1], w_j + M[p[j]] \}.$

Running time. The bottom-up version takes $O(n \log n)$ time.

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MAXIMUM SUBARRAY PROBLEM



Goal. Given an array x of n integer (positive or negative), find a contiguous subarray whose sum is maximum.

12 5 -1 31 -61 59 26 -53 58 97 -93 -23 84 -15 6

Applications. Computer vision, data mining, genomic sequence analysis, technical job interviews,



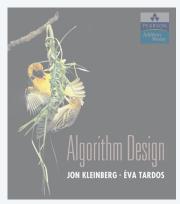
MAXIMUM RECTANGLE PROBLEM

5x

Goal. Given an n-by-n matrix A, find a rectangle whose sum is maximum.

$$A = \begin{bmatrix} -2 & 5 & 0 & -5 & -2 & 2 & -3 \\ 4 & -3 & -1 & 3 & 2 & 1 & -1 \\ -5 & 6 & 3 & -5 & -1 & -4 & -2 \\ -1 & -1 & 3 & -1 & 4 & 1 & 1 \\ 3 & -3 & 2 & 0 & 3 & -3 & -2 \\ -2 & 1 & -2 & 1 & 1 & 3 & -1 \\ 2 & -4 & 0 & 1 & 0 & -3 & -1 \end{bmatrix}$$

Applications. Databases, image processing, maximum likelihood estimation, technical job interviews, ...



SECTION 6.3

6. DYNAMIC PROGRAMMING I

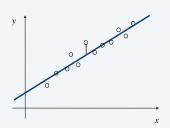
- weighted interval scheduling
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Least squares

Least squares. Foundational problem in statistics.

- Given *n* points in the plane: $(x_1, y_1), (x_2, y_2), ..., (x_n, y_n)$.
- Find a line y = ax + b that minimizes the sum of the squared error:

$$SSE = \sum_{i=1}^{n} (y_i - ax_i - b)^2$$



Solution. Calculus ⇒ min error is achieved when

$$a = \frac{n \sum_{i} x_{i} y_{i} - (\sum_{i} x_{i})(\sum_{i} y_{i})}{n \sum_{i} x_{i}^{2} - (\sum_{i} x_{i})^{2}}, \quad b = \frac{\sum_{i} y_{i} - a \sum_{i} x_{i}}{n}$$

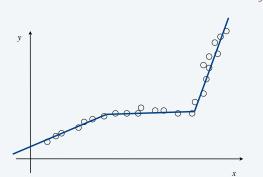
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Segmented least squares

Segmented least squares.

- Points lie roughly on a sequence of several line segments.
- Given n points in the plane: $(x_1, y_1), (x_2, y_2), ..., (x_n, y_n)$ with $x_1 < x_2 < ... < x_n$, find a sequence of lines that minimizes f(x).
- Q. What is a reasonable choice for f(x) to balance accuracy and parsimony?

goodness of fit number of lines



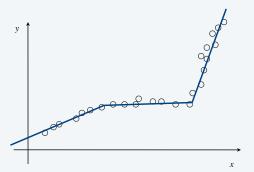
Segmented least squares

Segmented least squares.

- Points lie roughly on a sequence of several line segments.
- Given n points in the plane: $(x_1, y_1), (x_2, y_2), ..., (x_n, y_n)$ with $x_1 < x_2 < ... < x_n$, find a sequence of lines that minimizes f(x).

Goal. Minimize f(x) = E + c L for some constant c > 0, where

- \bullet E = sum of the sums of the squared errors in each segment.
- L = number of lines.



Dynamic programming: multiway choice

Notation.

- $OPT(j) = minimum cost for points <math>p_1, p_2, ..., p_j$.
- e_{ij} = SSE for for points $p_i, p_{i+1}, ..., p_j$.

To compute OPT(i):

- Last segment uses points $p_i, p_{i+1}, ..., p_i$ for some $i \le j$.
- Cost = $e_{ij} + c + OPT(i-1)$. \leftarrow optimal substructure property (proof via exchange argument)

Bellman equation.

$$OPT(j) \ = \ \left\{ \begin{array}{ll} 0 & \text{if } j = 0 \\ \min_{1 \le i \le j} \left\{ e_{ij} + c + OPT(i-1) \right. \right\} & \text{if } j > 0 \end{array} \right.$$

Segmented least squares algorithm

SEGMENTED-LEAST-SQUARES $(n, p_1, ..., p_n, c)$ FOR j = 1 TO nFOR i = 1 TO jCompute the SSE e_{ij} for the points $p_i, p_{i+1}, ..., p_j$. $M[0] \leftarrow 0$.

previously computed value

FOR j = 1 TO n $M[j] \leftarrow \min_{1 \le i \le j} \{ e_{ij} + c + M[i-1] \}$.

RETURN M[n].

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Segmented least squares analysis

Theorem. [Bellman 1961] DP algorithm solves the segmented least squares problem in $O(n^3)$ time and $O(n^2)$ space.

Pf.

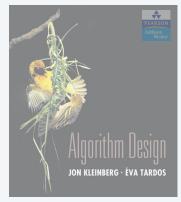
• Bottleneck = computing SSE e_{ij} for each i and j.

$$a_{ij} = \frac{n \sum_{k} x_{k} y_{k} - (\sum_{k} x_{k})(\sum_{k} y_{k})}{n \sum_{k} x_{k}^{2} - (\sum_{k} x_{k})^{2}}, \quad b_{ij} = \frac{\sum_{k} y_{k} - a_{ij} \sum_{k} x_{k}}{n}$$

• O(n) to compute e_{ij} . •

Remark. Can be improved to $O(n^2)$ time.

- For each i: precompute cumulative sums $\sum_{k=1}^{i} x_k$, $\sum_{k=1}^{i} y_k$, $\sum_{k=1}^{i} x_k^2$, $\sum_{k=1}^{i} x_k y_k$.
- Using cumulative sums, can compute e_{ij} in O(1) time.



SECTION 6.4

6. DYNAMIC PROGRAMMING I

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Knapsack problem

Goal. Pack knapsack so as to maximize total value.

- There are *n* items: item *i* provides value $v_i > 0$ and weighs $w_i > 0$.
- Knapsack has weight capacity of W.

Assumption. All input values are integral.

Ex. { 1, 2, 5 } has value \$35 (and weight 10).

Ex. { 3, 4 } has value \$40 (and weight 11).



i	v_i	w_i
1	\$1	1 kg
2	\$6	2 kg
3	\$18	5 kg
4	\$22	6 kg
5	\$28	7 kg

knapsack instance (weight limit W = 11)

Dynamic programming: adding a new variable

Def. OPT(i, w) = max-profit subset of items 1, ..., i with weight limit w. Goal. OPT(n, W).

. possibly because $w_i > w$

Case 1. OPT(i, w) does not select item i.

• OPT(i, w) selects best of $\{1, 2, ..., i-1\}$ using weight limit w.

Case 2. OPT(i, w) selects item i.

optimal substructure property (proof via exchange argumer

- Collect value v_i .
- New weight limit = $w w_i$.
- OPT(i, w) selects best of $\{1, 2, ..., i-1\}$ using this new weight limit.

Bellman equation.

$$OPT(i, w) = \begin{cases} 0 & \text{if } i = 0 \\ OPT(i - 1, w) & \text{if } w_i > w \\ \max \{ OPT(i - 1, w), \ v_i + OPT(i - 1, w - w_i) \} & \text{otherwise} \end{cases}$$

Knapsack problem: bottom-up dynamic programming

KNAPSACK $(n, W, w_1, ..., w_n, v_1, ..., v_n)$ FOR w = 0 TO W $M[0, w] \leftarrow 0$.

FOR i = 1 TO nFOR w = 0 TO WIF $(w_i > w)$ $M[i, w] \leftarrow M[i-1, w]$.

ELSE $M[i, w] \leftarrow \max\{M[i-1, w], v_i + M[i-1, w-w_i]\}$.

RETURN M[n, W].

$$OPT(i, w) = \begin{cases} 0 & \text{if } i = 0 \\ OPT(i - 1, w) & \text{if } w_i > w \\ \max \{ OPT(i - 1, w), \ v_i + OPT(i - 1, w - w_i) \} & \text{otherwise} \end{cases}$$

Knapsack problem: bottom-up dynamic programming demo

i	v_i	w_i		
1	-	1 kg		(0
2	\$6	2 kg	$OPT(i, w) = \langle$	$\begin{cases} O \\ OPT(i-1,w) \\ \max \left\{ OPT(i-1,w), v_i + OPT(i-1,w-w_i) \right\} \end{cases}$
3		5 kg	- (-)	$\max \{ OPT(i-1 \ w) \ v_i + OPT(i-1 \ w - w_i) \}$
4	\$22	6 kg		$(\max\{OTI(e^{-1},w),e_{i}\mid OTI(e^{-1},w^{-1}w_{i}))$
5	\$28	7 kg		

weight limit w

		0	1	2	3	4	5	6	7	8	9	10	11
subset of items 1,, i	{ }	0	0	0	0	0	0	0	0	0	0	0	0
	{1}	0	1	1	1	1	1	1	1	1	1	1	1
	{ 1, 2 }	0 ←		6	7	7	7	7	7	7	7	7	7
	{ 1, 2, 3 }	0	1	6	7	7	- 18 ←	19	24	25	25	25	25
	{ 1, 2, 3, 4 }	0	1	6	7	7	18	22	24	28	29	29	- 40
	{ 1, 2, 3, 4, 5 }	0	1	6	7	7	18	22	28	29	34	35	40

OPT(i, w) = max-profit subset of items 1, ..., i with weight limit w.

Knapsack problem: running time

Theorem. The DP algorithm solves the knapsack problem with n items and maximum weight W in $\Theta(n|W)$ time and $\Theta(n|W)$ space.

Pf.

weights are integers between 1 and $\it W$

- Takes O(1) time per table entry.
- There are $\Theta(n|W)$ table entries.
- After computing optimal values, can trace back to find solution: OPT(i, w) takes item i iff M[i, w] > M[i-1, w].

Dynamic programming: quiz 4



Does there exist a poly-time algorithm for the knapsack problem?

- **A.** Yes, because the DP algorithm takes $\Theta(n \ W)$ time.
- **B.** No, because $\Theta(n|W)$ is not a polynomial function of the input size.
- C. No, because the problem is NP-hard.
- D. Unknown.

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COIN CHANGING



Problem. Given n coin denominations $\{c_1, c_2, ..., c_n\}$ and a target value V, find the fewest coins needed to make change for V (or report impossible).

Recall. Greedy cashier's algorithm is optimal for U.S. coin denominations, but not for arbitrary coin denominations.

Ex. { 1, 10, 21, 34, 70, 100, 350, 1295, 1500 }. Optimal. 140¢ = 70 + 70.







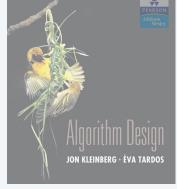












SECTION 6.5

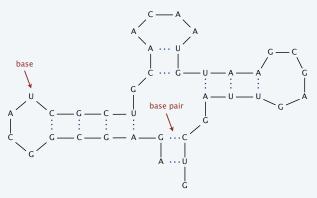
6. DYNAMIC PROGRAMMING I

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- ▶ RNA secondary structure

RNA secondary structure

RNA. String $B = b_1 b_2 ... b_n$ over alphabet $\{A, C, G, U\}$.

Secondary structure. RNA is single-stranded so it tends to loop back and form base pairs with itself. This structure is essential for understanding behavior of molecule.

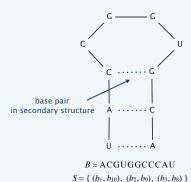


RNA secondary structure for GUCGAUUGAGCGAAUGUAACAACGUGGCUACGGCGAGA

RNA secondary structure

Secondary structure. A set of pairs $S = \{(b_i, b_i)\}$ that satisfy:

• [Watson-Crick] *S* is a matching and each pair in *S* is a Watson-Crick complement: A-U, U-A, C-G, or G-C.



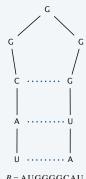
A C G II G G C C A II

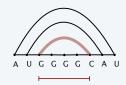
S is not a secondary structure (C-A is not a valid Watson-Crick pair)

RNA secondary structure

Secondary structure. A set of pairs $S = \{(b_i, b_i)\}$ that satisfy:

- [Watson-Crick] *S* is a matching and each pair in *S* is a Watson-Crick complement: A-U, U-A, C-G, or G-C.
- [No sharp turns] The ends of each pair are separated by at least 4 intervening bases. If $(b_i, b_j) \in S$, then i < j 4.





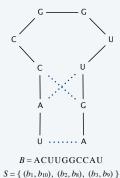
S is not a secondary structure (≤4 intervening bases between G and C)

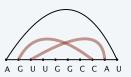
B = AUGGGGCAU $S = \{ (b_1, b_9), (b_2, b_8), (b_3, b_7) \}$

RNA secondary structure

Secondary structure. A set of pairs $S = \{ (b_i, b_j) \}$ that satisfy:

- [Watson-Crick] *S* is a matching and each pair in *S* is a Watson-Crick complement: A-U, U-A, C-G, or G-C.
- [No sharp turns] The ends of each pair are separated by at least 4 intervening bases. If $(b_i, b_i) \in S$, then i < j 4.
- [Non-crossing] If (b_i, b_j) and (b_k, b_ℓ) are two pairs in S, then we cannot have $i < k < j < \ell$.



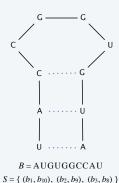


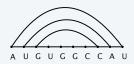
S is not a secondary structure (G-C and U-A cross)

RNA secondary structure

Secondary structure. A set of pairs $S = \{(b_i, b_i)\}$ that satisfy:

- [Watson-Crick] *S* is a matching and each pair in *S* is a Watson-Crick complement: A-U, U-A, C-G, or G-C.
- [No sharp turns] The ends of each pair are separated by at least 4 intervening bases. If $(b_i, b_j) \in S$, then i < j 4.
- [Non-crossing] If (b_i, b_j) and (b_k, b_ℓ) are two pairs in S, then we cannot have $i < k < j < \ell$.





S is a secondary structure (with 3 base pairs)

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RNA secondary structure

Secondary structure. A set of pairs $S = \{(b_i, b_i)\}$ that satisfy:

- [Watson-Crick] *S* is a matching and each pair in *S* is a Watson-Crick complement: A-U, U-A, C-G, or G-C.
- [No sharp turns] The ends of each pair are separated by at least 4 intervening bases. If $(b_i, b_j) \in S$, then i < j 4.
- [Non-crossing] If (b_i, b_j) and (b_k, b_ℓ) are two pairs in S, then we cannot have $i < k < j < \ell$.

Free-energy hypothesis. RNA molecule will form the secondary structure with the minimum total free energy.

approximate by number of base pairs (more base pairs → lower free energy)

Goal. Given an RNA molecule $B = b_1 b_2 ... b_n$, find a secondary structure S that maximizes the number of base pairs.

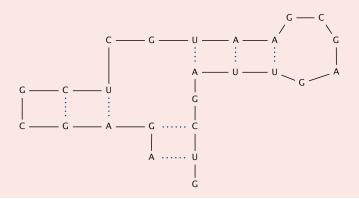
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Dynamic programming: quiz 5



Is the following a secondary structure?

- A. Yes.
- B. No, violates Watson-Crick condition.
- C. No, violates no-sharp-turns condition.
- D. No, violates no-crossing condition.



Dynamic programming: quiz 6



Which subproblems?

- **A.** $OPT(j) = \max \text{ number of base pairs in secondary structure of the substring <math>b_1b_2 \dots b_j$.
- **B.** $OPT(j) = \max \text{ number of base pairs in secondary structure of the substring <math>b_j b_{j+1} \dots b_n$.
- C. Either A or B.
- D. Neither A nor B.

RNA secondary structure: subproblems

First attempt. $OPT(j) = \text{maximum number of base pairs in a secondary structure of the substring } b_1b_2 \dots b_i$.

Goal. OPT(n).

Difficulty. Results in two subproblems (but one of wrong form).

- Find secondary structure in $b_1b_2...b_{t-1}$. $\longleftarrow OPT(t-1)$
- Find secondary structure in $b_{t+1}b_{t+2}...b_{j-1}$. \leftarrow need more subproblems (first base no longer b_1)

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Dynamic programming: quiz 7



In which order to compute OPT(i, j)?

- A. Increasing i, then j.
- **B.** Increasing j, then i.
- C. Either A or B.
- D. Neither A nor B.

Dynamic programming over intervals

Def. OPT(i, j) = maximum number of base pairs in a secondary structure of the substring $b_i b_{i+1} \dots b_j$.

Case 1. If $i \ge j-4$.

• OPT(i, j) = 0 by no-sharp-turns condition.

Case 2. Base b_i is not involved in a pair.

• OPT(i, j) = OPT(i, j-1).

Case 3. Base b_i pairs with b_t for some $i \le t < j - 4$.

- · Non-crossing condition decouples resulting two subproblems.
- $OPT(i, j) = 1 + \max_{t} \{ OPT(i, t-1) + OPT(t+1, j-1) \}.$

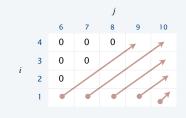
Bottom-up dynamic programming over intervals

- Q. In which order to solve the subproblems?
- A. Do shortest intervals first—increasing order of |j-i|.

RNA-SECONDARY-STRUCTURE $(n, b_1, ..., b_n)$ FOR k = 5 TO n - 1FOR i = 1 TO n - k $j \leftarrow i + k$.

Compute M[i, j] using formula.

RETURN M[1, n].



order in which to solve subproblems

Theorem. The DP algorithm solves the RNA secondary structure problem in $O(n^3)$ time and $O(n^2)$ space.

Dynamic programming summary

Outline.

typically, only a polynomial number of subproblems

- · Define a collection of subproblems.
- Solution to original problem can be computed from subproblems.
- Natural ordering of subproblems from "smallest" to "largest" that enables determining a solution to a subproblem from solutions to smaller subproblems.

Techniques.

- · Binary choice: weighted interval scheduling.
- · Multiway choice: segmented least squares.
- · Adding a new variable: knapsack problem.
- Intervals: RNA secondary structure.

Top-down vs. bottom-up dynamic programming. Opinions differ.

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